

2FORM PTO-1390  
OFFICE  
(REV. 1094)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK

ATTORNEY'S DOCKET NUMBER  
R0346/7016

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/242096

INTERNATIONAL APPLICATION NO.  
PCT/GB97/02159

INTERNATIONAL FILING DATE  
08 August 1997 (08.08.97)

PRIORITY DATE CLAIMED  
09 August 1996 (09.08.96)

TITLE OF INVENTION  
AUDIO EFFECTS SYNTHESIZER WITH OR WITHOUT ANALYSER

APPLICANT(S) FOR DO/EO/US  
KEMP, Michael Joseph

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(C)(5)).

Items 11. To 16. Below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment (with substitute claims).  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification (submitted as a first Preliminary Amendment).
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:  
Request Form PCT/RO/101  
International Published Application  
International Search Report  
Written Opinion  
International Preliminary Examination Report  
Mailed via Express Mailing Label No. EM529188116US  
Postcard  
Check

Express Mail Label No. EM529188116US  
Date of Mailing: 02/08/99

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

INTERNATIONAL APPLICATION  
PCT/GB97/02159ATTORNEY'S DOCKET NUMBER  
R0346/701617. ☒ The following fees are submitted:CALCULATIONS PTO USE ONLY**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).. \$760.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$96.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 X 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total Claims	20 - 20 =	0	X \$18.00
Independent Claims	2 - 3 =		X \$78.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+\$260.00
<b>TOTAL OF ABOVE CALCULATIONS</b>			=
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$420.00
<b>SUBTOTAL</b>			=
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$
<b>TOTAL NATIONAL FEE</b>			=
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate coversheet (37 CFR 3.28, 3.31). \$40.00 per property			+
<b>TOTAL FEES ENCLOSED</b>			=
			Amount to be: refunded \$ ---- charged \$ ----

0

X \$18.00

\$

X \$78.00

\$

+\$260.00

\$

\$840.00

\$420.00

\$420.00

\$

\$

\$

\$420.00

a. ☒ A check in the amount of \$ 420.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ In the amount of \$ \_\_\_\_\_ To cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Ronald J. Kransdorf  
WOLF, GREENFIELD & SACKS, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210

SIGNATURE

Ronald J. Kransdorf  
NAME20.004  
REGISTRATION NO.